

DIVISION 1 - GENERAL REQUIREMENTS

SECTION 01300 - SUBMITTALS

PART 1 - GENERAL

1.01 - SUMMARY

- A. Requirements Included: Submittal requirements specified in this Section include:
 - 1. Shop drawings.
 - 2. Product data.
 - 3. Samples.
 - 4. Certifications.
 - 5. Test or inspection reports.
 - 6. Miscellaneous work-related submittals.
- B. Individual submittal requirements are specified in applicable sections for each unit of work.
- C. Related Requirements: Refer to other Division-1 Sections and other Contract Documents for requirements for administrative submittals. Such submittals include, but are not limited to:
 - 1. Applications for payment.
 - 2. Insurance certificates.
 - 3. Listing of subcontractors/suppliers/materials.
 - 4. Project Schedules.
 - 5. Project Record Documents.
 - 6. Maintenance data and parts.

1.02 - DEFINITIONS

- A. Work-related submittals of this Section are categorized for convenience as follows:
 - 1. Shop Drawings: Shop drawings include specially-prepared technical data for this project, including drawings, diagrams, data sheets, schedules, templates, patterns, reports, calculations, instructions, measurements and similar information not in standard printed form for general application to a range of similar projects.
 - 2. Product Data: Product data include standard printed information on materials, products and systems; not specially-prepared for this project, other than the designation of selections from among available choices printed therein.

3. Samples: Samples include both fabricated and unfabricated physical examples of materials, products and units of work; both as complete units and as smaller portions of units of work; either for limited visual inspection or (where indicated) for more detailed testing and analysis.
4. Certification: Certificates of conformance or compliance are documents attesting that a product complies with a specified standard.
5. Test Reports: Certified test (or inspection) reports are documents attesting that a product meets a specified level of performance or quality when a prototype specimen is tested or inspected in accordance with a specified procedure, and consist of a certified statement by the product supplier or Contractor accompanied by a complete report of the inspection or test.
6. Miscellaneous submittals related directly to the work (non-administrative) include warranties, maintenance agreements, workmanship bonds, project photographs, field data and reports, physical work records, copies of industry standards, record drawings, field measurement data, operating and maintenance materials, overrun stock, and similar information, devices and materials applicable to the work and not processed as shop drawings, product data samples, certificates of conformance or compliance, or certified test reports.

1.03 - GENERAL SUBMITTAL REQUIREMENTS

A. General:

1. All submittals, unless specifically noted otherwise in the Specifications, shall be made to the Architect through the Contractor.
2. Only the Architect can approve or disapprove submittals. Deviations and variations from the contract requirements contained in the submittal can be approved only by the Contract Officer.
3. Failure on the part of the Contractor to indicate approval on submittals prior to submission to the Architect will result in their being returned to the Contractor without being acted upon.
4. No delays in construction occasioned by the Contractor's failure to submit material for approval in accordance with the approved schedule will be excused.

- B. Scheduling: Submit schedule of submissions for approval by the Architect, within twenty (20) calendar days after Notice To Proceed is received, unless otherwise stated.
- C. Coordination and Sequencing: Coordinate preparation and processing of submittals with performance of the work so that work will not be delayed by submittals. Coordinate and sequence different categories of submittals for same work, and for interfacing units of work, so that one will not be delayed for coordination of the Architect's review with another.
 - 1. All submittals of samples for materials finish selections shall be submitted at one (1) time to allow coordination of colors and finishes for the entire project. See requirements for combined preliminary sample submittal below.
 - 2. The Architect reserves the right to withhold action on a submittal requiring coordination with other submittals until related submittals are forthcoming.
- D. Preparation of Submittals: Provide permanent marking on each submittal to identify project, date, Contractor, subcontractor, submittal name and similar information to distinguish it from other submittals.
- E. Show Contractor's executed review and approval marking and provide space for the Architect's action marking. Package each submittal appropriately for transmittal and handling. Submittals which are received from sources other than through Contractor's office will be returned without action.
 - 1. Record relevant information and requests for data on the transmittal form. On the form, or an attached separate sheet, record deviations from requirements of the Contract Documents, including minor variations and limitations.
 - 2. Include the Contractor's signed certification stating that information submitted complies with requirements of the Contract Documents.

1.04 - SPECIFIC SUBMITTAL REQUIREMENTS

- A. General: Except as otherwise indicated in individual work sections, comply with requirements specified herein for each indicated category of submittal. Provide and process intermediate submittals, where required between initial and final, similar to initial submittals.
- B. Shop Drawings: Provide newly-prepared information, with graphic information at accurate scale (except as

otherwise indicated), with name of preparer indicated (firm name). Show dimensions and note which are based on field measurement. Highlight, encircle or otherwise indicate deviations from the Contract Documents. Identify materials and products in the work shown. Indicate compliance with standards, and special coordination requirements. Do not allow shop drawing copies without stamp indicating approval by the Architect to be used in connection with the work. A copy of each approved shop drawing is to be maintained by Contractor as "Record Document."

1. Equipment and Systems: Shop drawings for equipment and systems shall show ratings (where applicable), and how components are assembled, function together, and how they will be installed. Shop drawings, product data, certificate of conformance or compliance, certified test or inspection reports, and other submittals for equipment, systems, and their component parts shall be coordinated and submitted as a unit. Multiple or piecemeal submissions are not acceptable except where prior approval is obtained from the Architect, in which case a list of data to be submitted later shall be included with the first submission.

C. Product Data: Collect required data into one (1) submittal for each unit of work or system. Mark each copy to show which choices and options are applicable to project. Include manufacturer's standard printed recommendations for application and use, compliance with standards, application of labels and seals, notation of field measurements which have been checked, and special coordination requirements. Maintain one (1) set of product data (for each submittal) at project site, available for reference.

1. Submittals: Contractor shall not submit product data, or allow its use on the project, until he has confirmed compliance with requirements of contract documents. Submittal is for information and record, unless otherwise indicated. Initial submittal is final submittal unless returned by the Architect, marked with an action which indicates an observed noncompliance. Submit sufficient quantity for the Architect to retain one (1) copy, the EPA to retain one (1) copy, with the balance to be returned to Contractor as he may require. Include additional copies (which will be returned) where required for maintenance manuals.

- a. Provide preliminary single-copy submittals to Architect where required (or desired by Contractor) for selection of options by the Architect.
 - b. Installer's Copy: Do not proceed with installation of materials, products or systems until final copy of applicable product data is in possession of Installer.
- D. Certificate of Conformance or Compliance: Follow same procedure as for product data. Where feasible, and/or where required by other sections of specification indicate compliance with the specified standard by means of a label on the container, or on an inconspicuous place on the product. Include listing by Underwriters Laboratory, Factory Mutual, Certification by National Sanitary Foundation, etc. as applicable.
- E. Certified Test and Inspection Reports: Process each as either "shop drawings" or "product data," depending upon whether report is uniquely prepared for project or a standard publication of workmanship control testing at point of production; process accordingly.
 - 1. Report shall include a description of the prototype specimen tested or inspected which is sufficiently descriptive to ensure positive identification of the product by an inspector when delivered and/or installed.
 - 2. The report shall be accompanied by a notarized statement from the supplier of the product certifying that the prototype is identical in all respects to the product proposed for the project.
 - 3. Where feasible and/or where required by other sections of the specification, indicate compliance with the specified performance or quality by means of a label on the container or on an inconspicuous place on the product. The label shall refer to the test or inspection report and include the date of the report.
- F. Warranties (Guarantees): In addition to copies desired for Contractor's use, furnish three (3) executed copies, except furnish additional (conformed) copies where required for maintenance manuals.
- G. Standards/Manufacturer's Recommendations: Where copy submittal is indicated, and except where specified integrally with "Product Data" submittal, submit two (2) copies to the Architect. Where workmanship at project site and elsewhere is governed by standard, furnish additional copies to fabricators, installers and others involved in performance of the work. Installation of the

item will not be allowed to proceed until the information is received. Failure to furnish the information can be cause for rejection of the material.

- H. Closeout Submittals: Refer to individual work sections and to Section 01700 - CONTRACT CLOSEOUT for specific requirements on submittal of closeout information, materials, tools and similar items.
 - 1. As-Built Drawings and Record Document Copies: Furnish one (1) set.
 - 2. Maintenance/Operating Manuals: Furnish five (5) copies, one (1) for the Architect and four (4) for the EPA.
 - 3. Materials and Tools: Refer to individual work sections for required quantities of spare parts, extra and overrun stock, maintenance tools and devices, keys, and similar physical units to be submitted.
- I. General Distribution: Provide additional distribution of submittals (not included in foregoing copy submittal requirements) to subcontractors, suppliers, fabricators, installers, and others as necessary for proper performance of the work.

1.05 - ARCHITECT'S ACTION

- A. Except for submittals for the record, for information and similar purposes, where action and return on submittals are required or requested, the Architect will review each submittal, mark to indicate the action taken, and return promptly.
 - 1. Compliance with specified characteristics is the Contractor's responsibility, and not considered part of the Architect's review and indication of action taken.
- B. Action Stamp: The Architect will stamp each submittal with a uniform, self-explanatory action stamp.

1.06 - RESUBMISSION REQUIREMENTS

- A. If the Architect requires resubmission, make corrections required and resubmit as specified for initial submittals until approval is obtained.

END